

A GUIDE TO AN EFFECTIVE CORRECTIVE ACTION

PLANNING

February 2013

CORRECTIVE ACTION
PROBLEM SOLVING PROCESS

1. Identify problems
2. Select problem for action
3. Describe/Analyze error
4. Determine cause
5. Consider solutions
6. Select the best solution
7. Plan for action
8. Implement solution
9. Monitor and evaluate

FACT SHEET - UNEARNED INCOME

For the purpose of illustrating the corrective action process, a hypothetical problem is outlined below:

- A medium-size county with three district offices.
- Quality Control (QC) and Quality Assurance (QA) review results:
Significant error problem involves unearned income, specifically
Unreported Unemployment Insurance Benefits (UIB) and Disability
Insurance Benefits (DIB).
- UIB and DIB errors are in all three districts in continuing units; a persistent problem for
several years.
- Most frequently the UIB and DIB-related over issuances are first noticed during the fifth
or sixth month on aid when Payment Verification System (PVS) printouts are first
received on the cases.
- UIB and DIB over issuances often begin as early as the third month of aid.
- Intake Eligibility Workers (EWs) set an automated control as a reminder for pending
verification of denial or receipt of UIB or DIB.
- Some units are virtually free of UIB and DIB errors.
- There is a chronic problem with staff turnover, but at least the problem is not getting
worse.
- County policy allows unit supervisors to devise their own procedures and set their own
requirements for checking on worker follow-up on case controls.
- The county has automated case control listings.
- QC and QA review findings:
 - 65% of UIB and DIB error cases – Caretaker relative applied for
UIB or DIB, supplied proof of
application, but failed to report
receipt of benefits.
 - 35% of UIB and DIB error cases - Continuing EW did not follow up
on UIB or DIB control set by intake EW.

ERROR DESCRIPTION - UNEARNED INCOME

Problem Statement: Lack of budgeting of Unemployment Insurance Benefits (UIB) and Disability Insurance Benefits (DIB)

IS		IS NOT	
WHO	Continuing units Clients	Intake units Employment Department	
WHAT	Lack of reporting of Receipt of UIB/DIB Lack of county-wide use of available controls	Failure to refer for potential benefits Lack of availability of automated controls	
WHEN	UIB/DIB still pending after intake Persistent problem	UIB/DIB already being received at intake New problem	
WHERE	All three districts	In some units	

IDENTIFY POSSIBLE CAUSES

CAUSE TELLS YOU WHAT TO FIX

Keep in mind while you identify possible causes

- What do you think might be causing the problem?
- Your theories, hunches?
- What's different between the IS/IS NOT analysis of the problem?
- What's changed over time (from when no problem to now.)

Determine Most Probable Cause

Any probable cause worth considering should:

- Explain the facts, and
- Be something you can affect.

Example

Car accidents are more likely in rain weather.

Cause = Rain weather.

Cause = Following too close.

Increasing error rates

Cause = No money, not enough staff.

Cause = No updated procedures or training.

CONSIDER AND SELECT SOLUTIONS

1. State the objective (problem statement + cause)

What are you trying to achieve?

2. List Possible Solutions

How will you pick the best solution?

3. List the Criteria for Judging Possible Solutions

What are the possible ways of fixing the problem?

4. Select the Best Solution

Which option or combination of options best meets the objective and satisfies the criteria?

Solution Matrix

Sample Criteria

Solutions:	Legal	Quick/Simple	Cost Effective	Staff Buy-In	Executive Buy-In	Total
1.						
2.						
3.						
4.						
5.						

Score solutions using a 1-5 rating

Highest Score:

Solution Selected:

IMPLEMENTATION GUIDE

1. What are the specific tasks necessary to put the action in place and have it continue?
2. Who is responsible for each task?
3. By what date must each task be completed?
4. What levels of approval are required?
5. Has the impact on clerical staff, eligibility workers, and other sections of the Department been determined?
6. Are the necessary resources available and obtainable?
7. Have you identified possible problems and thought about how to either prevent them or limit their seriousness?

EVALUATION GUIDE

The method to evaluate the effectiveness of the corrective action should be designed as part of the implementation strategy. Questions to consider include the following:

1. How will you know if the solution truly fixed or mitigated the problem?
2. What data will be collected to measure the effectiveness?
3. Who will be tasked with pulling together the data to measure the impact?
4. How will this impact their workload? Are there other ways to measure success that are effective but less labor-intensive?
5. By what date should the effectiveness be measured?
6. How can it be determined that improvement or lack of success was not due to other factors?
7. Is there a procedure to feed the evaluation data back to the corrective action committee?